

**WEST**[Help](#)[Logout](#)[Interrupt](#)[Main Menu](#) [Search Form](#) [Posting Counts](#) [Show S Numbers](#) [Edit S Numbers](#) [Preferences](#) [Cases](#)**Search Results -****Terms****Documents**

L15 and normal same symbol

4

US Patents Full-Text Database  
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**Database:****Search:**[Refine Search](#)[Recall Text](#)[Clear](#)

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**Search History**

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**DATE:** **Wednesday, November 27, 2002** [Printable Copy](#) [Create Case](#)

Set Name Query  
side by sideHit Count Set Name  
result set

DB=USPT,PGPB,JPAB,EPAB,DWPI,TDBD; PLUR=YES; OP=OR

<u>L18</u>	L15 and normal same symbol	4	<u>L18</u>
<u>L17</u>	L16 and normal\$ same symbols	28	<u>L17</u>
<u>L16</u>	L15 and symbols	256	<u>L16</u>
<u>L15</u>	(stock or securities or ticke\$) same foreign	2013	<u>L15</u>
<u>L14</u>	L12 and symbol\$	27	<u>L14</u>
<u>L13</u>	L12 and symbol	22	<u>L13</u>
<u>L12</u>	ticke\$ near8 (translation or conversion or foreign)	149	<u>L12</u>
<u>L11</u>	ticker near4 (translation or conversion or foreign)	1	<u>L11</u>
<u>L10</u>	((705/37)!.CCLS.)	909	<u>L10</u>
<u>L9</u>	((705/36)!.CCLS.)	665	<u>L9</u>
<u>L8</u>	((705/35)!.CCLS.)	703	<u>L8</u>
<u>L7</u>	((705/\$)!.CCLS.)	16585	<u>L7</u>
<u>L6</u>	((704/10)!.CCLS.)	224	<u>L6</u>
<u>L5</u>	((704/\$)!.CCLS.)	13637	<u>L5</u>
<u>L4</u>	((707/\$)!.CCLS.)	17409	<u>L4</u>
<u>L3</u>	((707/100)!.CCLS.)	1299	<u>L3</u>
<u>L2</u>	((707/4)!.CCLS.)	1137	<u>L2</u>
<u>L1</u>	((707/1)!.CCLS.)	1970	<u>L1</u>

END OF SEARCH HISTORY

## WEST

 [Generate Collection](#) [Print](#)

L17: Entry 20 of 28

File: USPT

Jul 16, 2002

US-PAT-NO: 6421653

DOCUMENT-IDENTIFIER: US 6421653 B1

TITLE: Systems, methods and computer program products for electronic trading of financial instruments

DATE-ISSUED: July 16, 2002

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
May; R. Raymond	Mathews	NC		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Blackbird Holdings, Inc.	Charlotte	NC			02

APPL-NO: 09/ 169906 [PALM]

DATE FILED: October 12, 1998

## PARENT-CASE:

CROSS-REFERENCE TO RELATED APPLICATION This application claims benefit of co-pending U.S. Provisional Application No. 60/062,410, entitled "Systems and Methods for Electronic Trading of Financial Contracts," and filed Oct. 14, 1997. In addition, the present application is related to the following co-pending, commonly assigned U.S. applications, each of which is incorporated by reference as if set forth in full: "Systems, Methods And Computer Program Products For Subject-Based Addressing In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09-169,767; "Systems, Methods And Computer Program Products For Monitoring Credit Risks In Electronic Trading Systems," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,878; and "Switch Engine For Risk Position Discovery In An Electronic Trading System," filed Oct. 12, 1998, and accorded application Ser. No.: 09/169,879.

INT-CL: [07] G06 F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/38, 705/39

## PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

[Search Selected](#) [Search ALL](#)

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<u>3581072</u>	May 1971	Nymeyer	
<u>4674044</u>	June 1987	Kaimus et al.	
<u>4677552</u>	June 1987	Sibley, Jr.	
<u>4903201</u>	February 1990	Wagner	
<u>4953085</u>	August 1990	Atkins	
<u>4980826</u>	December 1990	Wagner	
<u>5003473</u>	March 1991	Richards	
<u>5077665</u>	December 1991	Silvermann et al.	
<u>5101353</u>	March 1992	Lupien et al.	
<u>5126936</u>	June 1992	Champion et al.	
<u>5136501</u>	August 1992	Silverman et al.	
<u>5168446</u>	December 1992	Wiseman	
<u>5193056</u>	March 1993	Boes	
<u>5258908</u>	November 1993	Hartheimer et al.	
<u>5270922</u>	December 1993	Higgins	705/37
<u>5285383</u>	February 1994	Lindsey et al.	
<u>5297031</u>	March 1994	Gutterman et al.	
<u>5375055</u>	December 1994	Togher et al.	
<u>5396552</u>	March 1995	Jahn et al.	
<u>5446885</u>	August 1995	Moore et al.	
<u>5517406</u>	May 1996	Harris et al.	
<u>5557517</u>	September 1996	Daugherty, III	
<u>5594639</u>	January 1997	Atsumi	
<u>5630127</u>	May 1997	Moore et al.	
<u>5802499</u>	September 1998	Sampson et al.	705/35
<u>5819237</u>	October 1998	Garman	
<u>5845266</u>	December 1998	Lupien et al.	705/37
<u>5873071</u>	February 1999	Ferstenberg et al.	705/37
<u>5905974</u>	May 1999	Fraser et al.	
<u>5915209</u>	June 1999	Lawrence	155/31.2
<u>5924082</u>	July 1999	Silverman et al.	
<u>5924083</u>	July 1999	Silverman et al.	
<u>5940810</u>	August 1999	Traub et al.	
<u>5950176</u>	September 1999	Keiser et al.	
<u>5970479</u>	October 1999	Shepherd	705/37
<u>6012046</u>	January 2000	Lupien et al.	705/37
<u>6014627</u>	January 2000	Togher et al.	
<u>6014643</u>	January 2000	Minton	
<u>6098051</u>	August 2000	Lupien et al.	705/37
<u>6134600</u>	October 2000	Liu	

FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
0 399 850	November 1990	EP	
0 407 026	January 1991	EP	
0 411 748	February 1991	EP	
WO 95 06918	March 1995	WO	
WO 96 05563	February 1996	WO	
WO 96 34357	October 1996	WO	
WO 97 03409	January 1997	WO	

## OTHER PUBLICATIONS

Ludwig; "Supervision by risk" Journal of Commercial Lending, v78, p52-60., Nov. 1995; Dialog file 268, Accession No. 00274059.\*  
"Derivatives tool merger. . . C.ATS Software Inc.; LOR/Geske Bock Associates Inc" Software Industry Report, v28, n4, p4(1), Dialog file 148, Accession No. 08536443; Feb. 19, 1996.\*  
Maguire"Details on Derivatives: AIG Breaks Down Exposure by Industry"; Insurance Accountant; Jun. 13, 1994; p. 1; vol. 4, No. 23.\*  
Jerome Yen, Ho Geun, Lee and Tung BUI; Intelligent Clearinghouse:Elrctronic Marketplace with Computer-Mediated Negotiation Supports;Proceedings of the Twenty-Ninth Hawaii International Conference on System Sciences, Proceedings of HICSS-29; 29.sup.th Hawaii International conference on System Sciences, Wailea, HI, US, Jan. 3-6, 1996; pp. 219-2217, vol.3; XP002097382 ISBN 0-8186-7330-3, 1996; Los Alamitos, California, IEEE Computer Soc. Press.

ART-UNIT: 2765

PRIMARY-EXAMINER: Hafiz; Tariq R.

ASSISTANT-EXAMINER: Jeanty; Romain

## ABSTRACT:

An internet-protocol based anonymous trading system which enables traders to identify bids and offers which they are eligible to trade based upon a color coded methodology which gives the trader credit preference information about the potential counterparty while still maintaining the anonymity of the potential counterparty. To that end, each bid or offer is prescreened against all possible counterparties' credit information in the system and each counterparty sees a unique color coded trading interface based upon their particular credit preference combinations and the others in the system. The system then shows all prices in the system, and the color-coding tells the trader which prices he is able to trade, and also shows him the full depth of the market, including those the trader is unable to trade.

47 Claims, 40 Drawing figures

## WEST

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L17: Entry 22 of 28

File: USPT

Nov 16, 1999

US-PAT-NO: 5987432

DOCUMENT-IDENTIFIER: US 5987432 A

TITLE: Fault-tolerant central ticker plant system for distributing financial market data

DATE-ISSUED: November 16, 1999

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Zusman; Joseph	Sherman Oaks	CA		
Tang; Jennifer L.	Canoga Park	CA		
Nakelsky; Raymond S.	Los Angeles	CA		
Verbeck; Stephen L.	Lake Forest	CA		
Azizian; David	West Los Angeles	CA		

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE CODE
Reuters, Ltd.	London			GB	03

APPL-NO: 08/ 998983 [PALM]

DATE FILED: December 29, 1997

## PARENT-CASE:

This application is a continuation of Ser. No. 08/269,232, now abandoned, filed Jun. 6, 1994.

INT-CL: [06] G06 F 17/60

US-CL-ISSUED: 705/35; 705/37, 709/260

US-CL-CURRENT: 705/35; 705/37, 714/11

FIELD-OF-SEARCH: 705/35, 705/36, 705/37, 705/1, 707/10, 707/104, 380/49, 395/500.44, 395/500.48, 709/247, 709/260, 370/242, 370/216

## PRIOR-ART-DISCLOSED:

## U.S. PATENT DOCUMENTS

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/> <u>3082402</u>	March 1963	Scantlin	
<input type="checkbox"/> <u>3513442</u>	May 1970	Sieracki	
<input type="checkbox"/> <u>3611294</u>	October 1971	O'Neill et al	
<input type="checkbox"/> <u>3689872</u>	September 1972	Sieracki	
<input type="checkbox"/> <u>4473824</u>	September 1984	Clayton	
<input type="checkbox"/> <u>4554418</u>	November 1985	Toy	
<input type="checkbox"/> <u>4566066</u>	January 1986	Towers	
<input type="checkbox"/> <u>4665519</u>	May 1987	Kirchner et al.	
<input type="checkbox"/> <u>4674044</u>	June 1987	Kalmus et al.	
<input type="checkbox"/> <u>4677434</u>	June 1987	Fascenda	
<input type="checkbox"/> <u>4677552</u>	June 1987	Sibley, Jr.	
<input type="checkbox"/> <u>4868866</u>	September 1989	Williams, Jr.	
<input type="checkbox"/> <u>4942616</u>	July 1990	Linstroth et al.	
<input type="checkbox"/> <u>4989141</u>	January 1991	Lyons et al.	
<input type="checkbox"/> <u>5038284</u>	August 1991	Kramer	
<input type="checkbox"/> <u>5045848</u>	September 1991	Fascenda	
<input type="checkbox"/> <u>5101353</u>	March 1992	Lupien et al.	
<input type="checkbox"/> <u>5119465</u>	June 1992	Jack et al.	
<input type="checkbox"/> <u>5131020</u>	July 1992	Liebesny et al.	
<input type="checkbox"/> <u>5303149</u>	April 1994	Janigian	
<input type="checkbox"/> <u>5557780</u>	September 1996	Edwards et al.	
<input type="checkbox"/> <u>5710889</u>	January 1998	Clark et al.	
<input type="checkbox"/> <u>5774878</u>	June 1998	Marshall	
<input type="checkbox"/> <u>5864827</u>	January 1999	Wilson	
<input type="checkbox"/> <u>5870719</u>	February 1999	Martizen et al.	
<input type="checkbox"/> <u>5893079</u>	April 1999	Cwenar	

ART-UNIT: 274

PRIMARY-EXAMINER: Weinhardt; Robert A.

ABSTRACT:

A central ticker plant system for distributing financial market data that receives ticker feed data from many exchanges throughout the world, processes and formats the received data and then distributes or broadcasts the data to regional customers in the form of securities transactional data denoting the security identity and related transactional data. The central ticker plant system is fault-tolerant because of novel hardware redundancy and multi-thread software processing architecture and operates continuously during hardware and software maintenance and repair, ensuring that every financial market data message received from the exchanges is included within 500 milliseconds in broadcast output.

18 Claims, 12 Drawing figures

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## Search Results -

Terms	Documents
I27 and (stock or tick\$) near symbol	45

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**Database:**[Refine Search:](#)[Clear](#)

## Search History

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USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l17 and template	244	<u>L18</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l16 and normalized	813	<u>L17</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l7 and symbol	13425	<u>L16</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l7 and normal near symbol	12	<u>L15</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l7 and normalized near symbol	1	<u>L14</u>
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USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l8 and normal same symbol	3	<u>L12</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l8 and normalized same symbol	0	<u>L11</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l8 and normal\$ same symbols	9	<u>L10</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l8 and symbols	141	<u>L9</u>
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USPT,PGPB,JPAB,EPAB,DWPI,TDBD	stock or securities or ticke\$ same foreign	358227	<u>L7</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l5 and symbols	0	<u>L6</u>
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USPT,PGPB,JPAB,EPAB,DWPI,TDBD	l2 and symbol\$	21	<u>L3</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	ticke\$ near8 (translation or conversion or foreign)	129	<u>L2</u>
USPT,PGPB,JPAB,EPAB,DWPI,TDBD	ticker near4 (translation or conversion or foreign)	1	<u>L1</u>

WEST



Generate Collection

L30: Entry 11 of 45

File: USPT

Oct 17, 2000

US-PAT-NO: 6134535

DOCUMENT-IDENTIFIER: US 6134535 A

TITLE: Computerized stock exchange trading system automatically formatting orders from a spreadsheet to an order entry system

DATE-ISSUED: October 17, 2000

## INVENTOR-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY
Belzberg; Sydney H.	Toronto			CAX

## ASSIGNEE-INFORMATION:

NAME	CITY	STATE	ZIP CODE	COUNTRY	TYPE	CODE
Belzberg Financial Markets & News International Inc.	Toronto			CAX	03	

APPL-NO: 8/ 716389

DATE FILED: September 19, 1996

## FOREIGN-APPL-PRIORITY-DATA:

COUNTRY	APPL-NO	APPL-DATE
CA	2119921	March 23, 1994

## PCT-DATA:

APPL-NO	DATE-FILED	PUB-NO	PUB-DATE	371-DATE	102(E)-DATE
PCT/CA95/00123	March 3, 1995	WO95/26005	Sep 28, 1995	Sep 19, 1996	Sep 19, 1996

INT-CL: [7] G06F 17/60

US-CL-ISSUED: 705/37; 705/36

US-CL-CURRENT: 705/37; 705/36

FIELD-OF-SEARCH: 705/37, 705/35, 705/36, 345/333, 707/1, 707/3, 707/4, 707/5, 707/6, 707/10, 707/100, 707/102, 709/200, 709/207, 709/204, 709/217, 709/218, 709/219

## PRIOR-ART-DISCLOSED:

U.S. PATENT DOCUMENTS

PAT-NO	ISSUE-DATE	PATENTEE-NAME	US-CL
<input type="checkbox"/> <u>4674044</u>	June 1987	Kalmus et al.	705/37
<input type="checkbox"/> <u>4750135</u>	June 1988	Boilen	395/200.61
<input type="checkbox"/> <u>4868866</u>	September 1989	Williams, Jr.	380/49
<input type="checkbox"/> <u>5101353</u>	March 1992	Lupien et al.	705/37
<input type="checkbox"/> <u>5297031</u>	March 1994	Gutterman et al.	705/37
<input type="checkbox"/> <u>5297032</u>	March 1994	Trojan et al.	705/37
<input type="checkbox"/> <u>5339392</u>	August 1994	Risberg et al.	345/333
<input type="checkbox"/> <u>5675746</u>	October 1997	Marshall	705/35

## FOREIGN PATENT DOCUMENTS

FOREIGN-PAT-NO	PUBN-DATE	COUNTRY	US-CL
401 203	December 1990	EPX	

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Kelly, Doug, "Broker's Software Advances Computerized Stock Trading", Financial Post (Toronto, Canada), Sec. 1, p. 1, Aug. 14, 1992.  
 Mesa User's Guide--Beta Release--Jul. 1992 together with Release Note dated Jul. 1, 1992.  
 Mesa User's Guide--Release 1.5, Athena Design, Inc., May 1993 (particularly pp. 3, 4, 26, 275, and Section 2 pp. 7-15).  
 Monsen, L., Using Microsoft.COPYRGT. Excel.RTM. 97, Chapters 19 and 20, Copyright.RTM. 1997, pp. 305-337.  
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 Nextworld, Mesa spreadsheet product advertisement, Apr/May. 1993.  
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 Nextworld, Mesa spreadsheet product advertisement and article, Aug. 1993.  
 Nextworld, Mesa spreadsheet product advertisement, Sep. 1993.  
 Nextworld, Mesa spreadsheet product advertisement, Oct. 1993.  
 Nextworld, Mesa spreadsheet product advertisement, Nov. 1993.  
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 Nextworld, Mesa spreadsheet product advertisement, Apr. 1994.  
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 "Quotron's Open Windows: Q1000 Data for PC Users," Trading Systems Technology, Waters Information Services, Inc., Oct. 10, 1988, pp. 1-3.  
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 "TST Interviews Bob McFarlane, Head of Consultants Interport," Trading Systems Technology, Waters Information Services, Inc., Jul. 1, 1991, pp. 1-6.  
 "Data Exchange, Salomon Launch Equities Order-Routing System," Trading Systems Technology, Waters Information Services, Inc., Jul. 29, 1991, pp. 1-2.  
 "LIT Uses Beams to Route Orders to NYSE's Superdot," Trading Systems Technology, Waters Information Services, Inc., Sep. 23, 1991, pp. 1-3.  
 "J.P. Morgan Selects Unix for Program-Trading Group," Trading Systems Technology, Waters Information Services, Inc., Apr. 20, 1992, pp. 1-3.  
 "Nikko N.Y. Taps Davidge, Sun for Equities Trading Systems," Trading Systems Technology, Waters Information Services, Inc., Apr. 20, 1992, pp. 1-2.

"Wall Street's Quiet Revolution," I. Schmerken, *Wall Street & Technology*, vol. 9, No. 10, Jun., 1992, pp.25-32.

"CIBC/Wood Gundy Proprietary Traders Lead the Way for 275-Position Room," *Trading Systems Technology*, Waters Information Services, Inc., Jul. 13, 1992, pp. 1-3.

"Reuters Buys Chunk of Effix; Expands Triarch/Effic Line," *Trading Systems Technology*, Waters Information Services, Inc., Jun. 15, 1992, pp. 1-4.

"WOSA Extensions for Real-Time Market Data," *Backgrounders and White Papers, Microsoft Development Library*, Jan., 1994, pp. 1-8.

"Canadian Brokerage Hedges with On-Line Expertise," I. Schmerken, *Wall Street Computer Review*, Dec., 1990, pp. 66-69.

*Canadian Quantex User Manual*, vol. I: *Trade Execution, Release Version 1.1*, RBC Dominion Securities Inc. and Investment Technology Group, Inc., Toronto, Canada, 1992.

Quantex Analytics, RBC Dominion Securities Inc. and Investment Technology Group, Inc., Toronto, Canada, May 7, 1993, pp. 1-26.

Janet Bush, "NYSE Takes Sting Out of Baskets", *Financial Times*, p. 34, Sep. 15, 1989.

ART-UNIT: 271

PRIMARY-EXAMINER: Voeltz; Emanuel Todd

ASSISTANT-EXAMINER: Kalinowski; Alexander

ATTY-AGENT-FIRM: Kenyon & Kenyon

ABSTRACT:

An improvement in computer automated stock exchange trading whereby a graphic user interface with a mouse and display is used to select parameters such as share symbol, price selection, order size, and transaction type, as well as other indicators to launch a trading order to the order entry system of a stock exchange computer. Further improvements include a programmed interface by which data on a group of shares may be read from a spreadsheet formulated into an order and launched automatically or in response to a signal from an operator so as to trade an index or basket of shares substantially instantaneously.

53 Claims, 7 Drawing figures